

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT			1. CONTRACT ID CODE	PAGE OF PAGES 1 1
2. AMENDMENT/MODIFICATION NO. P00045	3. EFFECTIVE DATE SEE BLOCK 16C	4. REQUISITION/PURCHASE REQ. NO. N00039-01-MR-DD254	5. PROJECT NO. (If applicable)	
6. ISSUED BY CODE COMMANDER, SPACE AND NAVAL WARFARE SYSTEMS COMMAND ATTN: 02-21C 4301 PACIFIC HIGHWAY SAN DIEGO CA 92110-3127 Carla J. Brown, Code: 02-21C, (619)5247204 brownca@spawar.navy.mil	N00039	7. ADMINISTERED BY (If other than Item 6) DCM-ATLANTA 805 WALKER W STREET, SUITE 1 MARIETTA, GA 30060-2789	CODE S1103A	
8. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State, and ZIP Code) AVAYA INC. 5540 MILLSTREAM ROAD MCLEANSVILLE, NC 27301		<input checked="" type="checkbox"/> 9A. AMENDMENT OF SOLICITATION NO.  <input type="checkbox"/> 9B. DATED (SEE ITEM 11)  <input checked="" type="checkbox"/> 10A. MODIFICATION OF CONTRACT/ORDER NO. N68939-97-D-0040 <input checked="" type="checkbox"/> 10B. DATED (SEE ITEM 13) 29JUL1997		
CODE 1SBH3	FAULTY CODE			
11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS				

☐ The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers ☐ is extended, ☐ is not extended.

Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods:

(a) By completing Items 8 and 15, and returning \_\_\_\_\_ copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter of telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

12. ACCOUNTING AND APPROPRIATION DATA (If required)

N/A

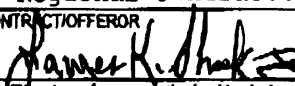

<input checked="" type="checkbox"/>	A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A. (Specify authority)
	B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES (such as changes in paying office, appropriation date, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(b)
X	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF: MUTUAL AGREEMENT OF THE PARTIES
	D. OTHER

E. IMPORTANT: Contractor is not X is required to sign this document and return 1 copies to the issuing office.

14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible.)

The purpose of this modification is to incorporate the attached Contract Security Classification Specification, DD Form 254, into contract N68939-97-D-0040 and to remove the temporary halt of award of classified orders placed under this contract via modification P00044.

Except as modified above, all other terms and conditions of contract N68939-97-D-0041 remain unchanged and in full force and effect.

15A. NAME AND TITLE OF SIGNER (Type or Print): James K Sheek, III Regional Contracts Manager		16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or Print): CARLA J. BROWN, Contracting Officer	
15B. CONTRACT/OFFEROR  (Signature of person authorized to sign)	15C. DATE SIGNED 31 August 2001	16B. UNITED STATES OF AMERICA  (Signature of Contracting Officer)	16C. DATE SIGNED 8-31-01

NSN 7540-01-152-8070  
PREVIOUS EDITION UNUSABLE

STANDARD FORM 30 (REV. 10-83)  
Prescribed by GSA  
FAR (48 DFR) 53.243

<b>DEPARTMENT OF DEFENSE</b> <b>CONTRACT SECURITY CLASSIFICATION SPECIFICATION</b> (The requirements of the DoD Industrial Security Manual apply to all security aspects of this effort.)				<b>1. CLEARANCE AND SAFEGUARDING</b> a. FACILITY CLEARANCE REQUIRED <b>TOP SECRET</b> b. LEVEL OF SAFEGUARDING REQUIRED <b>NONE</b>	
<b>2. THIS SPECIFICATION IS FOR:</b> (X and complete as applicable)				<b>3. THIS SPECIFICATION IS:</b> (X and complete as applicable)	
X	a. PRIME CONTRACT NUMBER N68939-97-D-0040	X	a. ORIGINAL (Complete date in all cases)	Date (YYMMDD) 970729	
	b. SUBCONTRACT NUMBER	X	b. REVISED (Supersedes all previous specs)	Revision No. 3	Date (YYMMDD) 010828
	c. SOLICITATION OR OTHER NO.		c. FINAL (Complete Item 5 in all cases)	Date (YYMMDD)	
<b>4. IS THIS A FOLLOW-ON CONTRACT?</b> <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO. If Yes, complete the following: Classified material received or generated under _____ (Preceding Contract Number) is transferred to this follow-on contract.					
<b>5. IS THIS A FINAL DD FORM 254?</b> <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO. If Yes, complete the following: In response to the contractor's request dated _____, retention of the identified classified material is authorized for the period of _____.					
<b>6. CONTRACTOR</b> (Include Commercial and Government Entity (CAGE) Code)					
a. NAME, ADDRESS, AND ZIP CODE AVAYA INC GOVERNMENT SOLUTIONS BRANCH 5440 MILLSTREAM RD MCLEANSVILLE, NC 27301-9697		b. CAGE CODE  1SBH3		c. COGNIZANT SECURITY OFFICE (Name, Address, Zip) DEFENSE SECURITY SERVICE (DSS) 5800 E. CAMPUS CIRCLE DRIVE #110A IRVING, TX 75063	
<b>7. SUBCONTRACTOR</b>					
a. NAME, ADDRESS, AND ZIP CODE		b. CAGE CODE		c. COGNIZANT SECURITY OFFICE (Name, Address, Zip)	
<b>8. ACTUAL PERFORMANCE</b>					
a. NAME, ADDRESS, AND ZIP CODE		b. CAGE CODE		c. COGNIZANT SECURITY OFFICE (Name, Address, Zip)	
<b>9. GENERAL IDENTIFICATION OF THIS PROCUREMENT</b>  VOICE, VIDEO AND DATA (VIVID) UMBRELLA CONTRACT					
<b>10. THIS CONTRACT WILL REQUIRE ACCESS TO:</b>		YES	NO	<b>11. IN PERFORMING THIS CONTRACT, THE CONTRACTOR WILL:</b>	
a. COMMUNICATIONS SECURITY (COMSEC) INFORMATION		X		a. HAVE ACCESS TO CLASSIFIED INFORMATION ONLY AT ANOTHER CONTRACTOR'S FACILITY OR A GOVERNMENT ACTIVITY	
b. RESTRICTED DATA			X	b. RECEIVE CLASSIFIED DOCUMENTS ONLY	
c. CRITICAL NUCLEAR WEAPON DESIGN INFORMATION			X	c. RECEIVE AND GENERATE CLASSIFIED MATERIAL	
d. FORMERLY RESTRICTED DATA			X	d. FABRICATE, MODIFY, OR STORE CLASSIFIED HARDWARE	
e. INTELLIGENCE INFORMATION:				e. PERFORM SERVICES ONLY	
(1) Sensitive Compartmented Information (SCI)			X	f. HAVE ACCESS TO U.S. CLASSIFIED INFORMATION OUTSIDE THE U.S., PUERTO RICO, U.S. POSSESSIONS AND TRUST TERRITORIES	
(2) Non-SCI			X	g. BE AUTHORIZED TO USE THE SERVICES OF DEFENSE TECHNICAL INFORMATION CENTER (DTIC) OR OTHER SECONDARY DISTRIBUTION CENTER	
f. SPECIAL ACCESS INFORMATION			X	h. REQUIRE A COMSEC ACCOUNT	
g. NATO INFORMATION			X	i. HAVE TEMPEST REQUIREMENTS	
h. FOREIGN GOVERNMENT INFORMATION			X	j. HAVE OPERATIONS SECURITY (OPSEC) REQUIREMENTS	
i. LIMITED DISSEMINATION INFORMATION			X	k. BE AUTHORIZED TO USE THE DEFENSE COURIER SERVICE	
j. FOR OFFICIAL USE ONLY INFORMATION		X		l. OTHER (Specify) AIS CLASSIFIED PROCESSING	
k. OTHER (Specify)			X		
PR NO.:					

PR NO.:

CONTRACT NUMBER: N68939-97-D-0040

**12. PUBLIC RELEASE.** Any information (classified or unclassified) pertaining to this contract shall not be released for public dissemination except as provided by the Industrial Security Manual or unless it has been approved for public release by appropriate U.S. Government authority. Proposed public releases shall be submitted for approval prior to release to the Directorate for Freedom of Information and

☐ DIRECT☒ THROUGH (Specify):**RELEASE OF COMSEC INFORMATION IS NOT AUTHORIZED.**

COMMANDER, SPACE AND NAVAL WARFARE SYSTEMS COMMAND, CODE 00L, 4301 PACIFIC HIGHWAY, SAN DIEGO, CA 92110-3127

Security Review, Office of the Assistant Secretary of Defense (Public Affairs)\* for review.

\* In the case of non-DoD User Agencies, requests for disclosure shall be submitted to that agency.

**13. SECURITY GUIDANCE.** The security classification guidance needed for this classified effort is identified below. If any difficulty is encountered in applying this guidance or if any other contributing factor indicates a need for changes in this guidance, the contractor is authorized and encouraged to provide recommended changes; to challenge the guidance or the classification assigned to any information or material furnished or generated under this contract; and to submit any questions for interpretation of this guidance to the official identified below. Pending final decision, the information involved shall be handled and protected at the highest level of classification assigned or recommended. (Fill in as appropriate for the classified effort. Attach, or forward under separate correspondence, any documents/guides/extracts referenced herein. Add additional pages as needed to provide complete guidance.)

**CLASSIFICATION GUIDE(S): (PROVIDED UNDER SEPARATE COVER BY D829)**

OPNAVINST S5513.6C, ENCL 4, SECURE VOICE INTEROPERABILITY SYSTEM (SVIS).

**ACCESS REQUIREMENTS:**

**10.A** FURTHER DISCLOSURE, TO INCLUDE SUBCONTRACTING, OF COMSEC INFORMATION BY A CONTRACTOR REQUIRES PRIOR APPROVAL OF COMSPAWARSYSCOM. ACCESS TO ANY COMSEC INFORMATION REQUIRES SPECIAL BRIEFINGS AT THE CONTRACTOR FACILITY. ACCESS TO CLASSIFIED COMSEC INFORMATION REQUIRES A FINAL U.S. GOVERNMENT CLEARANCE AT THE APPROPRIATE LEVEL.

**11.A** CONTRACT PERFORMANCE IS RESTRICTED TO VARIOUS NAVY, AIR FORCE, DEFENSE LOGISTIC AGENCIES, DEFENSE COMMUNICATIONS AGENCIES, AND ARMY LOCATIONS. COMSPAWARSYSCOM WILL PROVIDE SECURITY CLASSIFICATION GUIDANCE FOR PERFORMANCE OF THIS CONTRACT. EXACT LOCATIONS WILL BE PROVIDED IN EACH DELIVERY ORDER.

**11.E** CONTRACT IS FOR EQUIPMENT MAINTENANCE SERVICES ON EQUIPMENTS, WHICH PROCESS CLASSIFIED INFORMATION. ACTUAL KNOWLEDGE OF, GENERATION, OR PRODUCTION OF CLASSIFIED INFORMATION IS NOT REQUIRED FOR PERFORMANCE OF THIS CONTRACT. CLEARED PERSONNEL ARE REQUIRED TO PERFORM THIS SERVICE BECAUSE ACCESS TO CLASSIFIED INFORMATION CAN NOT BE PRECLUDED BY ESCORTING PERSONNEL.

**11.F** ACCESS TO CLASSIFIED U.S. GOVERNMENT INFORMATION MAY BE REQUIRED AT THE FOLLOWING OVERSEAS LOCATIONS: ENGLAND; SPAIN; ITALY; SINGAPORE; JAPAN; OKINAWA; AND MIDDLE EAST. HOWEVER, IF IN FACT THE NEED OCCURS FOR ADDITIONAL FOREIGN TRAVEL, EXACT DESTINATIONS WILL BE LISTED IN EACH DELIVERY ORDER.

**ANTI-TERRORISM/FORCE PROTECTION BRIEFINGS REQUIRED FOR PERSONNEL PRIOR TO COMMENCEMENT OF FOREIGN TRAVEL.**

**11K.** THE CONTRACTING OFFICER AUTHORIZES AUTHORIZATION OF A DEFENSE COURIER SERVICE (DCS) ACCOUNT WITH PRIOR VALIDATION. **NOTE ANY CLASSIFIED MATERIAL MUST BE STORED AT A GOVERNMENT FACILITY/ AVAYA HAS NO STORAGE APPROVAL.**

**11I.** CLASSIFIED PROCESSING WILL BE INVOLVED AT THE FOLLOWING LOCATIONS/AGENCIES/COMMANDS: VARIOUS NAVY, AIR FORCE; DEFENSE LOGISTIC AGENCIES; DEFENSE COMMUNICATIONS AGENCIES; AND ARMY LOCATIONS.

THE CONTRACTING OFFICER'S REPRESENTATIVE: MR. TED WOLKEN, SPAWAR/D829, (619) 524-9601.

ALL CLASSIFIED INFORMATION **MUST** BE MARKED IN ACCORDANCE WITH EXECUTIVE ORDER 12958-CLASSIFIED NATIONAL SECURITY INFORMATION, OF 17 APRIL 1995. YOUR DEFENSE SECURITY SERVICE (DSS) INDUSTRIAL SECURITY REPRESENTATIVE (ISREP) SHOULD BE CONTACTED FOR ASSISTANCE.

COPIES OF ALL SUBCONTRACT DD FORM 254'S MUST BE PROVIDED TO THE DISTRIBUTION LISTED IN BLOCK 17.

**14. ADDITIONAL SECURITY REQUIREMENTS.** Requirements, in addition to ISM requirements, are established ☒ YES ☐ NO for this contract. (If Yes, identify the pertinent contractual clauses in the contract document itself, or provide an appropriate statement which identifies the additional requirements. Provide a copy of the requirements to the cognizant security office. Use Item 13 if additional space is needed)

SPECIFIC ON-SITE SECURITY REQUIREMENTS ATTACHED.

AUTOMATED INFORMATION SYSTEM (AIS) PERSONNEL SECURITY REQUIREMENTS ATTACHED.

FOR OFFICIAL USE ONLY (FOUO) INFORMATION IS ATTACHED.

**15. INSPECTIONS.** Elements of this contract are outside the inspection responsibility of the cognizant security office. ☐ YES ☒ NO (If Yes, explain and identify specific areas or elements carved out and the activity responsible for inspections. Use Item 13 if additional space is needed.)

**16. CERTIFICATION AND SIGNATURE.** Security requirements stated herein are complete and adequate for safeguarding the classified information to be released or generated under this classified effort. All questions shall be referred to the official named below.

a. TYPED NAME OF CERTIFYING OFFICIAL

CASWELL@SPAWAR.NAVY.MIL  
CHRISTINE CASWELL

b. TITLE

SECURITY CONTRACTING OFFICER'S  
REPRESENTATIVE (COR)

c. TELEPHONE (Include Area Code)

(619) 524-2672

d. ADDRESS (Include Zip Code)

COMMANDING OFFICER  
SPAWAR SYSTEMS CENTER D0351  
53560 HULL ST.  
SAN DIEGO, CA 92152-5001**17. REQUIRED DISTRIBUTION**☒ a. CONTRACTOR☐ b. SUBCONTRACTOR☒ c. COGNIZANT SECURITY OFFICE FOR PRIME AND SUBCONTRACTOR☒ d. U.S. ACTIVITY RESPONSIBLE FOR OVERSEAS SECURITY ADMINISTRATION☒ e. ADMINISTRATIVE CONTRACTING OFFICER☒ f. OTHERS AS NECESSARY D0351; D829

e. SIGNATURE

20010828



**AVAYA INC.**  
**GOVERNMENT SOLUTIONS BRANCH**  
**CONTRACT NO. N68939-97-D-0040**  
**SPECIFIC ON-SITE SECURITY REQUIREMENTS**

**I. GENERAL.**

a. Contractor Performance. In performance of this Contract the following security services and procedures are incorporated as an attachment to the DD 254. The Contractor will conform with the requirements of DoD 5220.22-M, Department of Defense National Industrial Security Program, Operating Manual (NISPOM) available from [www.dss.mil](http://www.dss.mil). When visiting COMSPAWARSCOM at either Old Town Campus (OTC) or Point Loma Campus (PLC) the Contractor will comply with the security directives used regarding the protection of classified and sensitive but unclassified (SBU) information, SECNAVINST 5510.36 (series) and SECNAVINST 5510.30 (series) both of which are available from <http://neds.nebt.daps.mil/Directives/table52.html>. A hardcopy of these directives will be provided upon receipt of a written request from the Contractor's Facility Security Officer (FSO) to the SPAWAR Systems Command's Security Contracting Officer's Representative (COR), Code D0351. If the Contractor establishes a cleared facility or Defense Security Service (DSS) approved off-site location at COMSPAWARSCOM, the security provisions of the NISPOM will be followed within this cleared facility.

b. Security Supervision. SPAWAR Systems Center will exercise security supervision over all contractors visiting COMSPAWARSCOM and will provide security support to the Contractor as noted below. The Contractor will identify, in writing to Security's COR, an on-site Point of Contact to interface with Security's COR.

**II. HANDLING CLASSIFIED MATERIAL OR INFORMATION.**

a. Control and Safeguarding. Contractor personnel located at COMSPAWARSCOM are responsible for the control and safeguarding of all classified material in their possession. All contractor personnel will be briefed by their FSO on their individual responsibilities to safeguard classified material. In addition, all contractor personnel are invited to attend SPAWAR Systems Center conducted Security Briefings, available at this time by appointment only. In the event of possible or actual loss or compromise of classified material, the on-site Contractor at the PLC will immediately report the incident to SPAWAR Systems Center's Code D0351 as well as the Contractor's FSO. An on-site Contractor, whose primary location is OTC, will make their report to Code D0351 as well as the Contractor's FSO. A Code D0351, representative will investigate the circumstances, determine culpability where possible and report results of the inquiry to the FSO and the Cognizant Field Office of the DSS. On-site contractor personnel will promptly correct any deficient security conditions identified by a SPAWAR Systems Center Security representative.

b. Storage.

1. Classified material may be stored in containers authorized by SPAWAR Systems Center's PLC Physical Security Group, Code D0352, or OTC Code D0351, for the storage of that level of classified material. Classified material may also be stored in Contractor owned containers brought on board COMSPAWARSCOM with Code D0352's written permission. Containers to be located at our OTC will request Code D0351's written permission. Areas located within cleared contractor facilities at COMSPAWARSCOM will be approved by DSS.

2. The use of Open Storage areas must be pre-approved in writing by SPAWAR Systems Center, Code D0352, for the open storage, or processing, of classified material prior to use of that area for open storage. Specific supplemental security controls for open storage areas, when required, will be provided by SPAWAR Systems Center, Code D0352.

c. Transmission of Classified Material.

1. All classified material transmitted by mail for use by long term visitors will be addressed to COMMANDING OFFICER, SPAWAR SYSTEMS CENTER, 53560 HULL ST, SAN DIEGO CA 92152-5001. The inner envelope will be addressed to the attention of the Contracting Officer's Representative (COR) or applicable Technical Representative (TR) for this contract, to include their Code number.

2. All SECRET material hand carried to COMSPAWARSCOM by contractor personnel must be delivered to the SPAWAR Systems Center Classified Material Control Center (CMCC), Code D0332, for processing.

3. All CONFIDENTIAL material hand carried to COMSPAWARSYSCOM by contractor personnel must be delivered to the Mail Distribution Center, Code D0331, for processing. This applies for either the OTC or PLC sites.

4. All COMSPAWARSYSCOM classified material transmitted by contractor personnel from COMSPAWARSYSCOM will be sent via the COMSPAWARSYSCOM COR or TR for this contract.

5. The sole exception to the above are items categorized as a Data Deliverable. All contract Data Deliverables will be addressed to COMMANDER, ATTN RECEIVING OFFICER CODE D242, SPAWAR SYSTEMS COMMAND, 4201 PACIFIC HIGHWAY, SAN DIEGO, CA 92110-3127.

III. INFORMATION ASSURANCE (IA) SECURITY. Contractors using Information Systems, networks or computer resources to process classified, SBU or unclassified information will comply with the provisions of SECNAVINST 5239.3 (series) available from <http://nedb.nebt.daps.mil/Directives/table48.html> and local policies and procedures. Contractor personnel must ensure that systems they use at COMSPAWARSYSCOM have been granted a formal letter of approval to operate by contacting their Information System Security Officer (ISSO). A list of ISSOs is available from <https://iweb.spawar.navy.mil/services/security/docs/Issolist.htm>.

#### IV. VISITOR CONTROL PROCEDURES.

a. Contractor personnel assigned to COMSPAWARSYSCOM will be considered long-term visitors for the purpose of this contract.

b. Submission of valid Visit Authorization Letter (VAL) for classified access to COMSPAWARSYSCOM is the responsibility of the Contractor's Security Office. All VAL's will be prepared in accordance with the NISPOM. They will be sent to either COMMANDING OFFICER, ATTN CODE D0352, SPAWAR SYSTEMS CENTER, 49275 ELECTRON DRIVE, SAN DIEGO, CA 92152-5435 for the PLC, or COMMANDING OFFICER, VISITOR CONTROL OTC, SPAWAR SYSTEMS CENTER, 53560 HULL STREET, SAN DIEGO, CA 92152-5001 for OTC. The VAL's will be addressed to COMSPAWARSYSCOM and list a COMSPAWARSYSCOM point of contact. Visit requests may be sent via facsimile to the PLC at (619) 553-6169, and verified on 553-3203 or the OTC at (619) 524-2745, and verified on 524-2751 or 524-3124. Visit requests may be submitted for the length of the basic contract or option period.

c. Visit requests for long term visitors should be received at least one week prior to the expected arrival of the visitor to ensure necessary processing of the request.

d. Code D0352 will issue temporary identification badges to Contractor personnel following receipt of a valid VAL from the Contractor's FSO. The responsible COMSPAWARSYSCOM COR will request issuance of picture badges to contractor personnel. The COR may, at their discretion, request that picture badges be issued for the length of the basic contract or option period. Identification badges are the property of the U.S. Government and will be worn and used for official business only. Unauthorized use of an COMSPAWARSYSCOM badge will be reported to the DSS. Identification badges must be worn in plain sight at all times on board COMSPAWARSYSCOM.

e. Prior to the termination of a Contractor employee with a COMSPAWARSYSCOM badge or active VAL on file the FSO must:

1. Notify in writing Code D0352 for PLC, Code D0351 for OTC, the COR, Security's COR, and the laboratory managers of any laboratories into which the employee had been granted unescorted access of the termination and effective date. In emergency situations, a facsimile may be sent or a telephone notification may be used. The telephone notification, however, must be followed up in writing within five working days.

2. Confiscate any COMSPAWARSYSCOM identification badge and vehicle decal and return them to either Code D0352, or Code D0351, no later than 5 working days after the effective date of the termination.

V. INSPECTIONS. Code D0351 personnel will conduct periodic inspections of the security practices of the on-site Contractor. All contractor personnel shall cooperate with Code D0351 representatives during these inspections. A report of the inspection will be forwarded to the Contractor's employing facility and COR. The Contractor must be responsive to the Code D0351 representative's findings.

VI. REPORTS. As required by the NISPOM, Chapter 1, Section 3, contractors are required to report certain events that have an impact on the status of the facility clearance (FCL), the status of an employee's personnel clearance (PCL), the proper safeguarding of classified information, or an indication classified information has been lost or compromised. The Contractor shall ensure that certain information pertaining to assigned contractor personnel or operations is reported to Security's COR, Code D0351. This reporting will include the following:

- a. The denial, suspension or revocation of security clearance of any assigned personnel;
- b. Any adverse information which would cast doubt on an assigned employee's continued suitability for continued access to classified access;
- c. Any instance of loss or compromise, or suspected loss or compromise, of classified information;
- d. Actual, probable or possible espionage, sabotage, or subversive information; or
- e. Any other circumstances of a security nature that would effect the contractor's operation on board COMSPAWARSYSCOM

VII. PHYSICAL SECURITY.

- a. SPAWAR Systems Center will provide appropriate response to emergencies occurring onboard this command. The Contractor will comply with all emergency rules and procedures established for COMSPAWARSYSCOM.
- b. A roving Contract Security Guard patrol will be accomplished by SPAWAR Systems Center. Such coverage will consist of, but not be limited to, physical checks of the window or door access points, classified containers, and improperly secured documents or spaces. Specific questions or concerns should be addressed to either PLC Code D0352 or OTC Code D0351.
- c. All personnel aboard COMSPAWARSYSCOM AND SPAWAR Systems Center are subject to random inspections of their vehicles, personal items and of them selves. Consent to these inspections is considered to have been given when personnel accept either a badge or a vehicle pass or decal permitting entrance to the command.

VIII. COR RESPONSIBILITIES.

- a. Review requests by cleared contractors for retention of classified information beyond a 2-year period and advise the contractor of disposition instructions and/or submits a Final DD 254 to Security's COR.
- b. Coordinates, in conjunction with the appropriate transportation element, a suitable method of shipment for classified material when required.
- c. Certifies and approves Registration For Scientific and Technical Information Services (DTIC) requests (DD 1540).
- d. Ensures that timely notice of contract award is given to host commands when contractor performance is required at other locations.
- e. Certify need-to-know on visit requests, conference registration forms, etc.

IX. SECURITY'S COR RESPONSIBILITIES.

- a. Initiate all requests for facility clearance action for our prime contractors with the DSS.
- b. Validate justification for Interim Top Secret personnel security clearances and facility clearances.
- c. Validate and endorse requests submitted by a cleared contractor for Limited Access Authorizations (LAA) for its non-U.S. citizen employees.

X. SPECIAL CONSIDERATIONS FOR ON-SITE CLEARED FACILITIES.

Any cleared contractor facility on board SPAWARSYSCOM will be used strictly for official business associated with this contract. No other work may be performed aboard this facility. Additional COMSPAWARSYSCOM contracts may be authorized to use this cleared facility, but only on a case-by-case basis. The COR, Security's COR, and Contracting Officer must be in agreement that this particular arrangement best suits the needs of the Government. At the end of this contract the on-site facility must be vacated, with proper written notification being submitted to the DSS and Security's COR.

XI. ITEMS PROHIBITED ABOARD COMSPAWARSYSCOM/SPAWAR Systems Center.

- a. Dangerous weapon, instrument or device includes, but is not limited to, the following:

rifles, automatic rifles, machine guns, sub-machine guns, pistols, machine pistols, flare pistols, starter pistols, shotguns, compressed gas, air or spring fired pellet or "BB" guns, sling shots, blow guns, or any other device which uses gun powder, compressed gas or air, or spring tension to forcefully eject a projectile or other device which may injure someone;

daggers, switch blades, bow and arrows, sear guns, Hawaiian slings, power heads, fishing knives, scuba knives, or any unofficial knife with a blade longer than 2 1/2 inches;

martial arts devices (throwing stars, nunchakus), stun guns, tasers, brass knuckles, billy clubs, night sticks, pipe, bars, or mallets, or other similar devices capable of being used as a weapon;

poison, acids or caustic chemicals;

or any other item that may be used to inflict serious injury or death to another person or temporarily blind or disable an individual injury not specifically authorized by proper authority.

- b. Explosive article or compound includes but is not limited to: ammunition for any of the small arms weapons mentioned as a dangerous weapon, including "blank" ammunition, gunpowder, molotov cocktails, pipe bombs, grenades, pyrotechnics, fireworks or any other compound or article which might violently react and cause injury not specifically authorized by proper authority.

- c. As an exception to the list of dangerous weapons, the possession of defensive tear gas devices (e.g., pepper spray) aboard all naval installations in California is now permissible. However, unauthorized use of these devices other than for self-defense will be prosecuted as a violation of the Uniform Code of Military Justice or applicable laws.

XII. ESCORTING POLICY.

- a. All personnel within COMSPAWARSYSCOM/SPAWAR Systems Center's fenced perimeters, with the exception of emergency personnel such as fire, ambulance, or hazardous material response personnel responding to an actual emergency, must wear a SPAWAR Systems Center issued badge. The words "Security" or "Safety" on selective Code D031 or D038 employee badges authorizes the bearer to escort unbadged emergency vehicles and operators and support personnel during emergencies. Only U.S. citizens and intending citizens (former immigrant aliens) may be escorted under this policy. ALL FOREIGN NATIONAL VISITORS MUST BE PROCESSED THROUGH THE SPAWAR SYSTEMS COMMAND FOREIGN DISCLOSURE OFFICE, 08-42.

- b. All permanently badged COMSPAWARSYSCOM/SPAWAR Systems Center and tenant command employees, as well as those contractors and other government employees who have an "E" for escort on their permanent badges may escort visitors requiring escort.

XIII. CONTRACTOR TRAINING.

All contractor personnel cleared Top Secret, Secret, or Confidential are required to receive annual Security Training. The issuance of a picture badge will trigger an e-mail to be sent to your personnel. This e-mail will give your employee the site of the computer based training that must be completed. This training is required to be repeated annually.

## AUTOMATED INFORMATION SYSTEM (AIS) PERSONNEL SECURITY PROGRAM REQUIREMENTS N68939-97-D-0040

The U.S. Government conducts trustworthiness investigations of personnel who require access to only unclassified information and who perform AIS duties. Requirements for these investigations are outlined in paragraphs 3-614, 3-710 and Appendix K of DoD 5200.2-R, available at <http://www.ntis.gov/product/dod-directives.htm>. Falsification of information submitted for any government-conducted investigation may result in contract default. The contractor shall include all of these requirements in any subcontracts involving AIS support.

Personnel performing work on AIS may be either a U.S. citizen or a Permanent Resident (except as noted below). A Permanent Resident is defined as a foreign national lawfully admitted to the United States for permanent residence. These personnel shall be designated as filling one of the three AIS Categories listed below. The Contracting Officer's Representative (COR) or Technical Representative (TR) shall determine if they or the contractor shall assign the AIS category to contractor personnel and inform the contractor of their determination. If it is decided the contractor shall make the assignment, the COR or TR must concur with the designation.

**AIS Category I (High Risk)** – may be filled by U.S. citizens only. Positions in which the incumbent is responsible for the planning, direction, and implementation of a computer security program; has a major responsibility for direction, planning, and design of a computer system, including the hardware and software; or can access a system during the operation or maintenance in such a way, and with relatively high risk for causing grave damage or realizing significant personal gain. Personnel whose duties meet the criteria for AIS Category I designation require a favorably adjudicated Single Scope Background Investigation (SSBI) or SSBI Periodic Reinvestigation (SSBI-PR), the updated standard for the BI listed in DoD 5200.2-R. The SSBI or SSBI-PR shall be updated every 5 years.

**AIS Category II (Moderate Risk)** - positions in which the incumbent is responsible for the direction, planning, design, operation or maintenance of a computer system, and whose work is technically reviewed by a higher authority at the AIS Category I level to insure the integrity of the system. Personnel whose duties meet the criteria for an AIS Category II designation require a favorably adjudicated National Agency Check (NAC), instead of the DNACI/NACI listed in DoD 5200.2-R.

**AIS Category III** - all other positions. Personnel whose duties meet the criteria for an AIS Category III designation require a favorably adjudicated NAC.

If an employee has a personnel security investigation at the appropriate level without a break in service for more than 24 months, with favorable adjudication, and in the case of AIS Category I is less than 5 years old, you do not need to submit an additional Electronic Personnel Security Questionnaire (EPSQ) for the trustworthiness determination. If required, the contractor will ensure personnel designated AIS category I, II, or III complete the EPSQ Standard Form (SF) 85P and provide it to their company's designated reviewer for an initial suitability determination. The reviewer will use the criteria outlined in Appendix G, SECNAVINST 5510.30A to make this initial determination. If, based on this initial review, the contractor gives the employee a negative trustworthiness determination the contractor will identify a replacement to the COR or TR and direct the replacement to complete the EPSQ. For personnel the contractor deems suitable, the designated reviewer will submit their EPSQs to the Office of Personnel Management (OPM). OPM is accepting **only** printed SF 85Ps. They should be mailed to U.S. Office of Personnel Management, Federal Investigations Processing Center, P. O. Box 700, 1137 Branchton Road, Boyers, PA 16018-0700. Investigative packages shall be submitted for all personnel in AIS Category I, II, or III prior to the employee being granted access to the AIS. For additional assistance please visit our web site at <https://www.spawar.navy.mil/sandiego/security/guidelines.doc>.

Specific guidelines for obtaining software and submission of EPSQs are available at the Defense Security Service (DSS) Internet Web Site at <http://www.dss.mil>. If you are unfamiliar with the EPSQ SF85P, you may contact your local DSS Office for further information.

Investigation results shall be returned to SPAWARSYSCEN San Diego, Code D0351, 53560 Hull Street, San Diego, CA 92152-5001 for a trustworthiness determination. SPAWARSYSCEN San Diego will notify the contractor of its decision. The contractor will promptly replace any individual for whom SPAWARSYSCEN San Diego has communicated a negative trustworthiness determination.



**FOR OFFICIAL USE ONLY (FOUO) INFORMATION**  
**N68939-97-D-0040**

1. The For Official User Only (FOUO) marking is assigned to information at the time of its creation. It isn't authorized as a substitute for a security classification marking but is used on official government information that may be withheld from the public under exemptions 2 through 9 of the Freedom of Information Act.
2. Use of FOUO markings doesn't mean that the information can't be released to the public, only that it must be reviewed by SPAWAR Systems Center prior to its release to determine whether a significant and legitimate government purpose is served by withholding the information or portions of it.
3. An UNCLASSIFIED document containing FOUO information will be marked "For Official Use Only" at the bottom of the front cover (if any), on the first page, on each page containing FOUO information, on the back cover, and on the outside of the back cover (if any). No portion markings will be shown.
4. Within a classified document, an individual page that contains both FOUO and classified information will be marked at the top and bottom with the highest security classification of information appearing on the page. If an individual portion contains FOUO information but no classified information, the portion will be marked, "FOUO."
5. Any FOUO information released to you by COMSPAWARSYSCOM is required to be marked with the following statement prior to transfer:  
  
THIS DOCUMENT CONTAINS INFORMATION EXEMPT FROM MANDATORY DISCLOSURE UNDER THE FOIA. EXEMPTIONS \_\_\_\_ APPLY.
6. Removal of the FOUO marking can only be accomplished by the originator or other competent authority. DO NOT REMOVE ANY FOUO MARKING WITHOUT WRITTEN AUTHORIZATION FROM COMSPAWARSYSCOM OR THE AUTHOR. When the FOUO status is terminated you will be notified.
7. You may disseminate FOUO information to your employees and subcontractors who have a need for the information in connection with this contract.
8. During working hours FOUO information shall be placed in an out-of-sight location if the work area is accessible to persons who do not have a need for the information. During nonworking hours, the information shall be stored to preclude unauthorized access. Filing such material with other unclassified records in unlocked files or desks, is adequate when internal building security is provided during nonworking hours. When such internal security control is not exercised, locked buildings or rooms will provide adequate after-hours protection or the material can be stored in locked receptacles such as file cabinets, desks or bookcases.
9. FOUO information may be sent via first-class mail or parcel post. Bulky shipments may be sent by fourth-class mail.
10. When no longer needed, FOUO information may be disposed by tearing each copy into pieces to preclude reconstructing, and placing it in a regular trash container or in the uncontrolled burn.
11. Unauthorized disclosure of FOUO information doesn't constitute a security violation but the releasing agency should be informed of any unauthorized disclosure. The unauthorized disclosure of FOUO information protected by the Privacy Act may result in criminal sanctions.

The contractor will include the AIS Category for each person so designated on Visit Authorization Letters (VAL) once the COR or TR has approved the Category. VALs will be sent to the following address: Commanding Officer, SPAWARSSYSCEN San Diego, ATTN: Code D0352, 49275 Electron Drive, San Diego, CA 92152-5435.